

FORM PTO-1390  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
P/62314TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/500675**INTERNATIONAL APPLICATION NO.  
PCT/GB02/05920INTERNATIONAL FILING DATE  
December 24, 2002PRIORITY DATE CLAIMED  
January 4, 2002TITLE OF INVENTION **DISPERSION COMPENSATION IN OPTICAL COMMUNICATIONS SYSTEMS**APPLICANT(S) FOR DO/EO/US **Harry Richard CLARINGBURN**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
  4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
    - b. ☐ has been communicated by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
    - a. ☐ is attached hereto.
    - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
    - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
    - b. ☒ have been communicated by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11 to 20 below concern document(s) or information included:**
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☐ Assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included and fee.
  13. ☒ A **FIRST** preliminary amendment.
  14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  15. ☐ A substitute specification.
  16. ☐ A change of power of attorney and/or address letter.
  17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
  18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
  19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
  20. ☒ Other items or information: **Receipt Acknowledgement Postcard**

|  |  |   |  |                                     |  |
|--|--|---|--|-------------------------------------|--|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.53)<br><div style="font-size: 2em; font-weight: bold; margin-top: 5px;">10/500675</div> |  | INTERNATIONAL APPLICATION NO.<br>PCT/GB02/05920 |  | ATTORNEY'S DOCKET NUMBER<br>P/62314 |  |
|--|--|---|--|-------------------------------------|--|

  

|   |              |              |            |                                  |    |
|---|--------------|--------------|------------|----------------------------------|----|
| 21. <input checked="" type="checkbox"/> The following fees are submitted:<br><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b><br>Neither international preliminary examination fee (37 CFR 1.482)<br>nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO<br>and International Search Report not prepared by the EPO or JPO ..... \$1,080.00<br><br>International preliminary examination fee (37 CFR 1.482) not paid to<br>USPTO but International Search Report prepared by the EPO or JPO ..... \$920.00<br><br>International preliminary examination fee (37 CFR 1.482) not paid to USPTO<br>but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$770.00<br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$730.00<br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00<br><br><div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div> |              |              |            | <b>CALCULATIONS PTO USE ONLY</b> |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).  |              |              |            | \$0.00                           |    |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA | RATE       | \$                               |    |
| Total claims  | 14 - 20 =    | 0            | x \$18.00  | \$0.00                           |    |
| Independent claims  | 4 3 =        | 1            | x \$86.00  | \$86.00                          |    |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |              | + \$290.00 | \$0.00                           |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |              |            | \$1,006.00                       |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |              |            | \$0.00                           |    |
| <b>SUBTOTAL =</b>   |              |              |            | \$1,006.00                       |    |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).  |              |              |            | \$0.00                           |    |
| <b>TOTAL NATIONAL FEE =</b>   |              |              |            | \$1,006.00                       |    |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +   |              |              |            | \$0.00                           |    |
| <b>TOTAL FEES ENCLOSED =</b>  |              |              |            | \$1,006.00                       |    |
|   |              |              |            | Amount to be refunded:           | \$ |
|   |              |              |            | charged:                         | \$ |

  

a. ☒ A check in the amount of **\$1,006.00** to cover the above fees is enclosed and Assignment recordal.

b. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **11-1145**. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**KIRSCHSTEIN, OTTINGER, ISRAEL & SCHIFFMILLER, P.C.**  
 489 Fifth Avenue  
 New York, New York 10017  
 (212) 697-3750

SIGNATURE:

**Alan Israel**  
 NAME  
**27,564**  
 REGISTRATION NUMBER

*I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail No. EV 332 341 534 115 in an envelope addressed to:*  
 Box: PCT, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22315-1450 on:  
June 30, 2004  
 (date)

Lori G. Witkin